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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Gregory H. Lambrecht et al.
Serial No.: 09/700,167
Filing Date: 11/09/00
Title: CARDIAC VALVE PROCEDURE
METHODS AND DEVICES
Group Art Unit: 3738
Examiner: Unknown
Attorney's Docket No.: VIA-3

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Assistant Commissioner For Patents
Washington, D.C. 20231

Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR 1.56, 1.97 and 1.98, Applicants hereby make the following documents of record in the above-identified application:

U.S. Patents

- (1) U.S. Patent No. 5,941,896 issued 8/24/99 to Kerr
- (2) U.S. Patent No. 5,947,995 issued 9/7/99 to Samuels
- (3) U.S. Patent No. 5,954,741 issued 9/21/99 to Fox
- (4) U.S. Patent No. 5,954,745 issued 9/21/99 to Gertler et al.
- (5) U.S. Patent No. 5,957,949 issued 9/28/99 to Leonhardt et al.
- (6) U.S. Patent No. 5,976,172 issued 11/2/99 to Homsma et al.
- (7) U.S. Patent No. 5,980,555 issued 11/9/99 to Barbut et al.
- (8) U.S. Patent No. 5,989,281 issued 11/23/99 to Barbut et al.
- (9) U.S. Patent No. 3,671,979 issued 6/27/72 to Mouloupoulos
- (10) U.S. Patent No. 3,996,938 issued 12/14/76 to Clark, III
- (11) U.S. Patent No. 4,056,854 issued 11/8/77 to Boretos et al.
- (12) U.S. Patent No. 4,425,908 issued 1/17/84 to Simon
- (13) U.S. Patent No. 4,527,549 issued 7/9/85 to Gabbay
- (14) U.S. Patent No. 4,902,272 issued 2/20/90 to Milder et al.
- (15) U.S. Patent No. 5,108,419 issued 4/28/92 to Reger et al.
- (16) U.S. Patent No. 5,160,342 issued 11/3/92 to Reger et al.
- (17) U.S. Patent No. 5,163,953 issued 11/17/92 to Vince
- (18) U.S. Patent No. 5,254,097 issued 10/19/93 to Schock et al.

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- (19) U.S. Patent No. 5,300,086 issued 4/5/94 to Gory et al.
- (20) U.S. Patent No. 5,324,304 issued 6/28/94 to Rasmussen
- (21) U.S. Patent No. 5,329,942 issued 7/19/94 to Gunther et al.
- (22) U.S. Patent No. 5,370,685 issued 12/6/94 to Stevens
- (23) U.S. Patent No. 5,397,351 issued 3/14/95 to Pavcnik et al.
- (24) U.S. Patent No. 5,411,552 issued 5/2/95 to Andersen et al.
- (25) U.S. Patent No. 5,509,428 issued 4/23/96 to Dunlop
- (26) U.S. Patent No. 5,545,214 issued 8/13/96 to Stevens
- (27) U.S. Patent No. 5,549,626 issued 8/27/96 to Miller et al.
- (28) U.S. Patent No. 5,554,185 issued 9/10/96 to Block et al.
- (29) U.S. Patent No. 5,571,215 issued 11/5/96 to Serman et al.
- (30) U.S. Patent No. 5,584,879 issued 12/17/96 to Reimold et al.
- (31) U.S. Patent No. 5,607,465 issued 3/4/97 to Camilli
- (32) U.S. Patent No. 5,682,906 issued 11/4/97 to Serman et al.
- (33) U.S. Patent No. 5,702,368 issued 12/30/97 to Stevens et al.
- (34) U.S. Patent No. 5,713,951 issued 2/3/98 to Garrison et al.
- (35) U.S. Patent No. 5,797,960 issued 8/25/98 to Stevens et al.
- (36) U.S. Patent No. 5,800,457 issued 9/1/98 to Gelbfish
- (37) U.S. Patent No. 5,800,525 issued 9/1/98 to Bachinski et al.
- (38) U.S. Patent No. 5,814,097 issued 9/29/98 to Serman et al.
- (39) U.S. Patent No. 5,827,324 issued 10/27/98 to Cassell et al.
- (40) U.S. Patent No. 5,848,964 issued 12/15/98 to Samuels
- (41) U.S. Patent No. 5,855,597 issued 1/5/99 to Jayaraman
- (42) U.S. Patent No. 5,855,601 issued 1/5/99 to Bessler et al.
- (43) U.S. Patent No. 5,876,367 issued 3/2/99 to Kaganov et al.
- (44) U.S. Patent No. 5,893,869 issued 4/13/99 to Barnhardt et al.
- (45) U.S. Patent No. 5,718,725 issued 2/17/98 to Serman et al.
- (46) U.S. Patent No. 5,910,154 issued 6/8/99 to Tsugita et al.
- (47) U.S. Patent No. 5,911,734 issued 6/15/99 to Tsugita et al.
- (48) U.S. Patent No. 5,925,063 issued 7/20/99 to Khosravi
- (49) U.S. Patent No. 5,928,261 issued 7/27/99 to Ruiz
- (50) U.S. Patent No. 5,935,139 issued 8/10/99 to Bates
- (51) U.S. Patent No. 5,549,665 issued 8/27/96 to Vesely et al.
- (52) U.S. Patent No. 5,728,153 issued 3/17/98 to Menkis et al.
- (53) U.S. Patent No. 5,840,081 issued 11/24/98 to Andersen et al.

Foreign Patents

- (54) European Patent Application No. EP 0408245 published 01/16/91
- (55) PCT International Publication No. WO 99/33414 published 07/08/99
- (56) PCT International Publication No. WO 99/15223 published 04/01/99

(57) PCT International Publication No. WO 00/47139 published 08/17/00

Other Documents

- (58) Antonatos PG, et al., Effect of the positioning of a balloon valve in the aorta on coronary flow during aortic regurgitation, J Thorac Cardiovasc Surg; 1984 Jul; 88(1): 128-33
- (59) Antonatos PG, et al., Intraventricular Pumping At The Mitral Ring In Mitral Regurgitation; Life Support Syst; 1985; 3 Suppl 1:167-71
- (60) Antonatos PG, et al., The Use Of A Small Intra-Aortic Balloon To Increase Coronary Flow; Life Support Syst; 1983 Jul-Sep; 1(3): 151-64
- (61) Frederiksen J, et al., Use Of A Counterpulsation Balloon As A Substitute For The Pulmonic Valve: A New Application; Ann Thorac Surg; 1986 Jun; 41(6): 616-21
- (62) Matsubara T, et al., Balloon Catheter With Check Valves For Experimental Relief Of Acute Aortic Regurgitation; Am Heart J; 1992 Oct; 124(4): 1002-8
- (63) Mouloupoulos SD, et al., Intra-Aortic Balloon Pump For Relief Of Aortic Regurgitation. Experimental Study, J Thorac Cardiovasc Surg; 1980 Jul;80(1):38-44
- (64) Siwek LG, et al., Acute Control Of Pulmonary Regurgitation With A Balloon "Valve". An experimental investigation, J Thorac Cardiovasc Surg; 1985 Sep;90(3):404-9
- (65) Cartwright RS, et al., Combined Replacement Of Aortic And Mitral Valves; J.A.M.A., April 7, 1962;86-90.

Copies of these documents, which are listed on the accompanying Form PTO-1449 (7 pages), are enclosed herewith. Applicants respectfully request that these documents be fully considered by the U.S. Patent and Trademark Office during the examination of this application and printed on any patent which may issue on this application. Applicants also respectfully request that a copy of Form PTO-1449

(seven pages), as considered and initialed by the Examiner, be returned to the undersigned with the next communication.

It is believed that this disclosure complies with the requirements of 37 CFR 1.56, 1.97 and 1.98. If for any reason the Examiner considers otherwise, it is respectfully requested that the undersigned be contacted by the Examiner by telephone in order that any deficiencies may be expeditiously remedied.

The enclosed documents may have markings thereon. Applicants are not presently aware of the source of those markings, and no significance is meant to be attached thereto.

Please charge any additional fees due in connection with this submission, or credit any overpayment, to Deposit Account No. 16-0221. A duplicate copy of this submission is enclosed for the convenience of the Examiner.

Thank you.

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August 17, 2001

(DATE OF DEPOSIT)

JAMES A. SHERIDAN

(NAME OF ATTORNEY)

James A. Sheridan 8/17/01

(SIGNATURE)

August 17, 2001

(DATE OF SIGNATURE)

Respectfully submitted,

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